

Records and Information Management (RIM) 101

16 Feb. 2021: Part 2

Records Lifecycle

Records Appraisal

Retention Schedules

- Record lifecycle
 - retention, disposition, custody
- what the law says you have to do during the lifecycle
- figuring out the lifecycle for each record
 - appraisal, assessing value
 - permanent vs non-permanent
- working with archives / archives processes
 - retention schedules, GRS, disposition authority (remember how the law said it had to be approved?)
 - grs process
 - SSRS process
 - political subdivisions
 - records center
 - preparing records, process to transfer, access after

Welcome!

- Use chat box for questions / tech issues
- Or un-mute yourself to ask a question
- Recording will be posted to YouTube, along with a link to the slides

Part 1 - 2/9

Why RIM?

What is a record?

Getting started



Part 2 - 2/16

Record Lifecycle

Retention/Disposition

Records Appraisal

Retention Schedules

General Retention Schedules

Series Retention Schedules



Part 3 - 2/23

Social Media

Databases

Email

Chat/IM/Text Messages

Shredding After Digitizing



1. How much RIM experience do you have?

- A. Less than a year
- B. 1-2 years
- C. 3-5 years
- D. 5-10 years
- E. More than 10 years

Have you ever sent boxes to Archives / Records Center?

- A. Yes
- B. No
- C. Not sure
- D. I'd rather not say

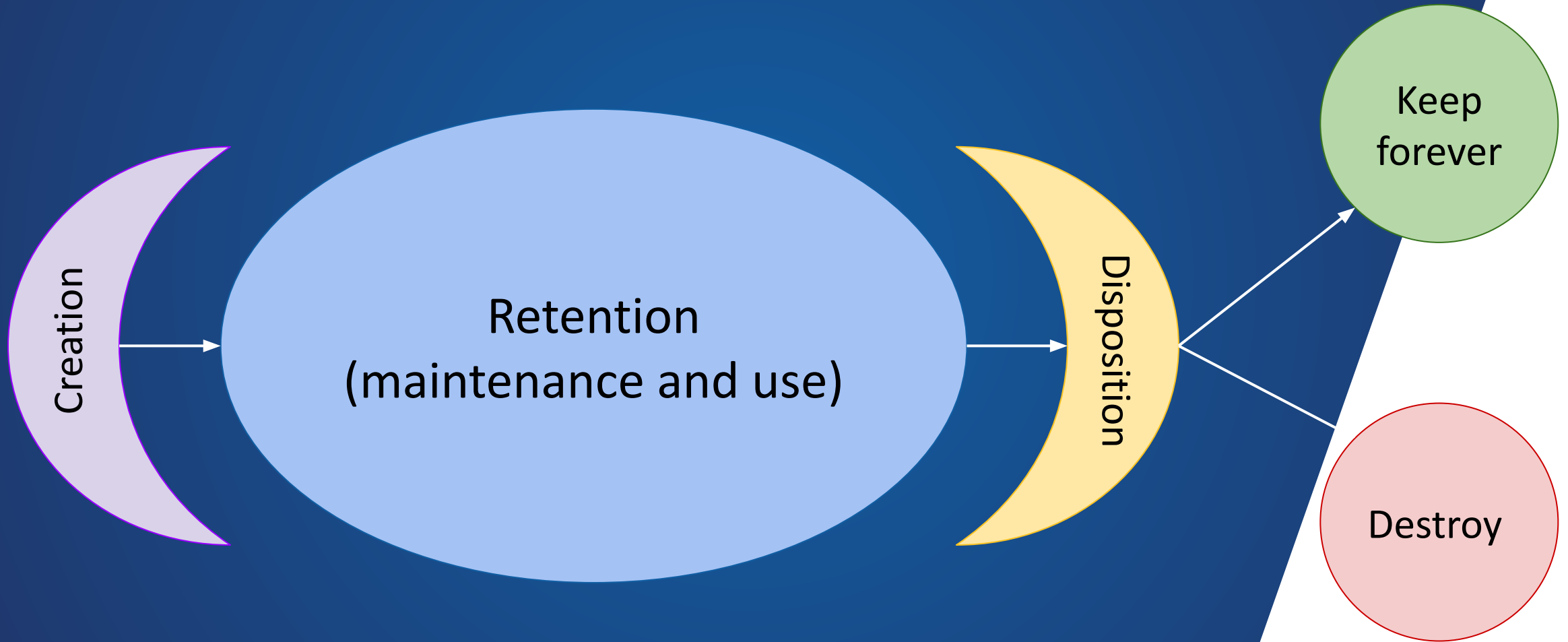
Issue: How long do I keep this record?

- Record lifecycle, retention, disposition
- The law
- Records appraisal
- Retention schedules, general retention schedules, series retention schedules

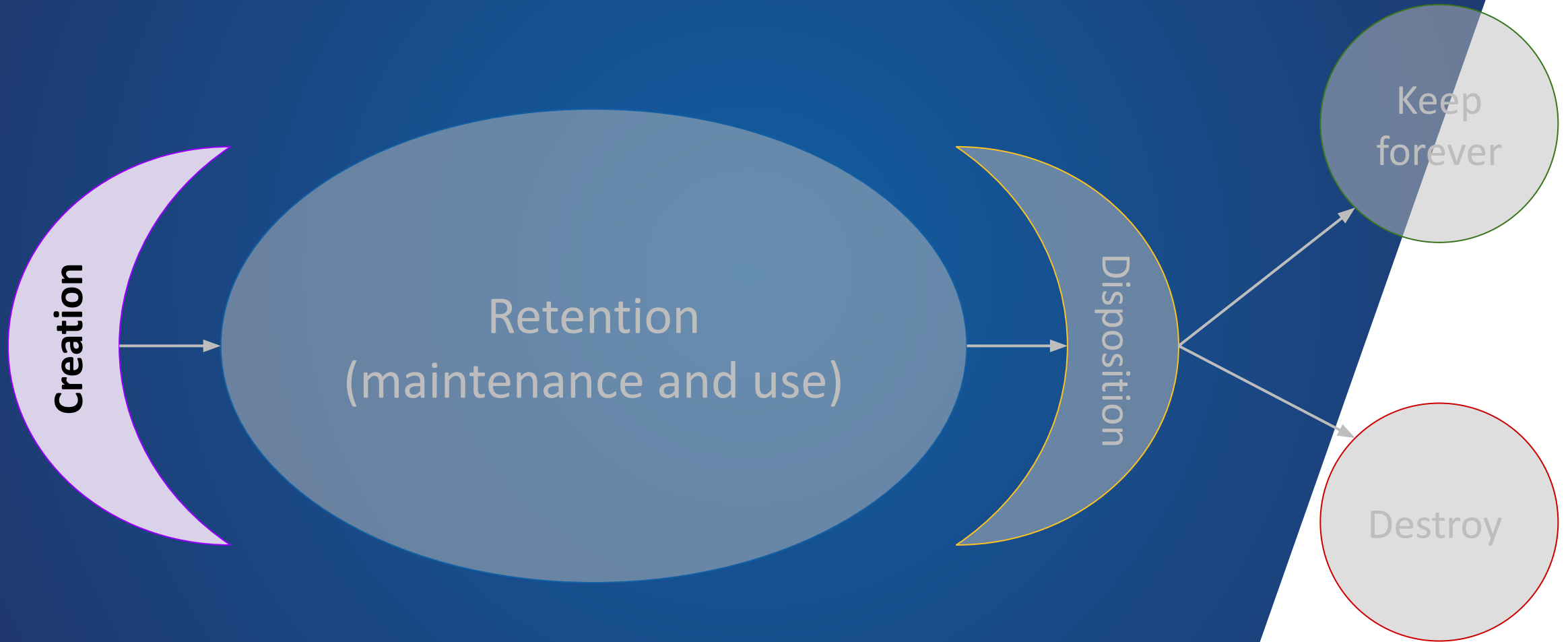
Records Lifecycle



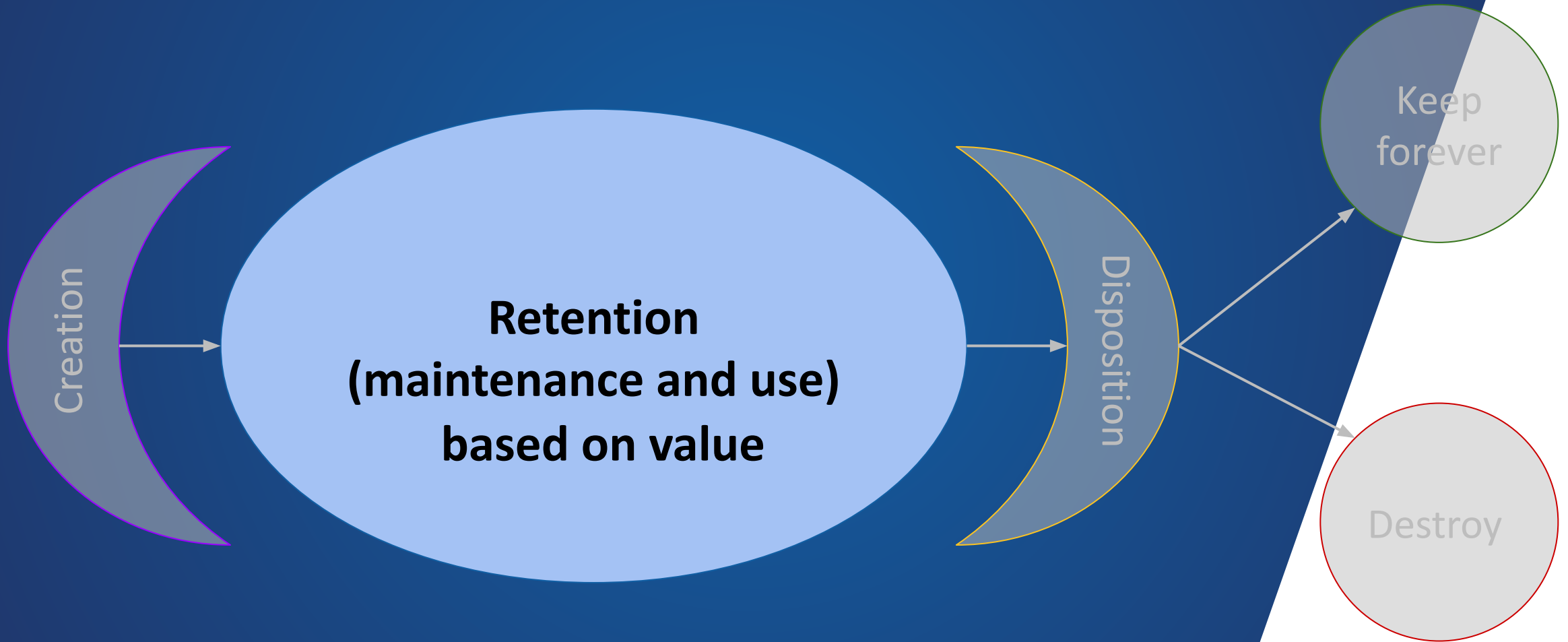
Record Lifecycle



Record Lifecycle: Creation



Record Lifecycle: Retention



In agency custody

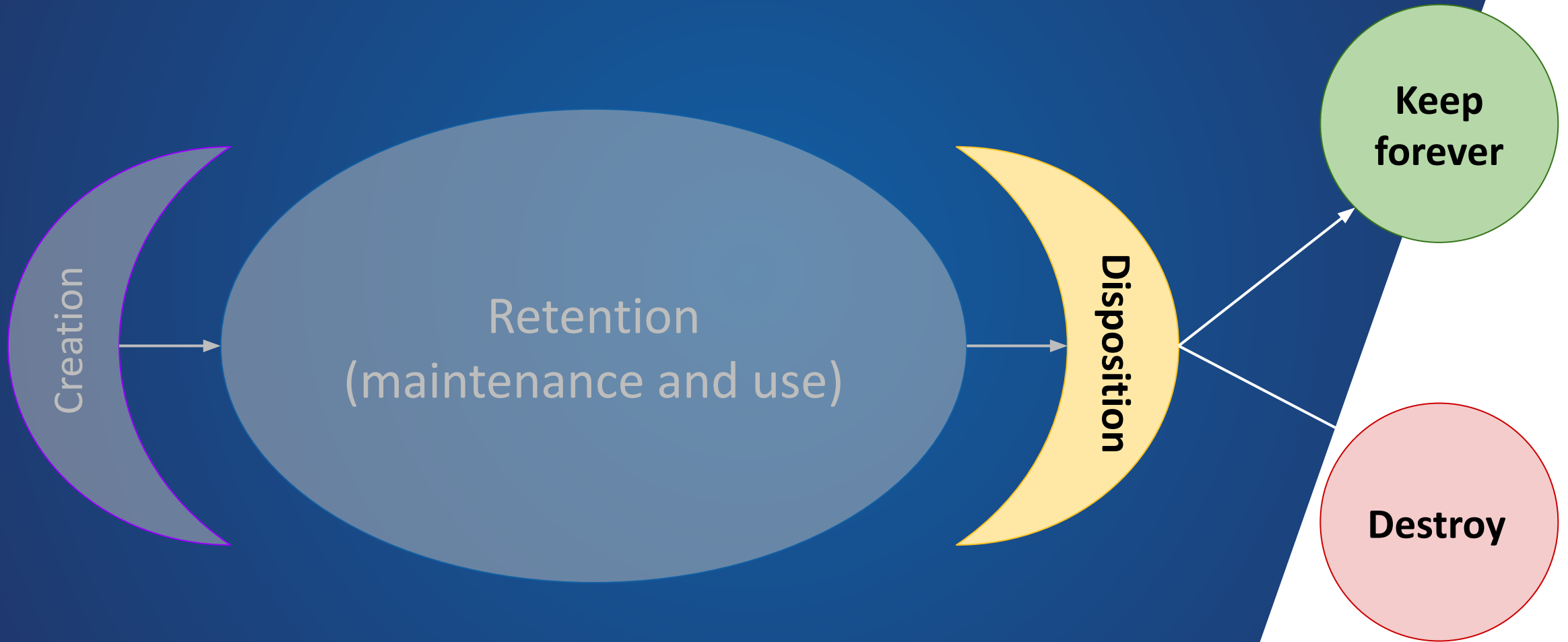
- Records are still in custody, even if physically located elsewhere
- Custody = agency responsible for:
 - Managing records
 - Maintaining records
 - Providing access to records

Inactive records

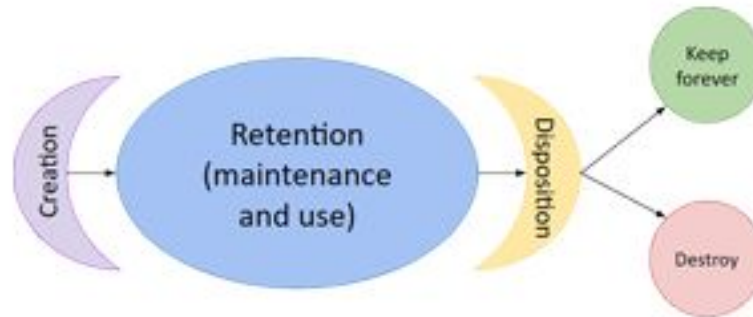
- used infrequently (once a month or less)
- still have to be retained
- can be stored off-site



Record Lifecycle: Disposition



Retention Schedule



Meeting request



RIM Specialists (Analysts)/ARO correspondence x



Nicole Vawdrey <nicolevawdrey@... Thu, Jan 23, 9:38 AM



to me ▾

Renee,

We just had another Archive Committee meeting and it brought up a few questions that I need your help with. Do you have time next week that we can meet to discuss?



Renee Wilson <reneewilson@uta... Jan 23, 2020, 9:57 AM



to Nicole ▾

Absolutely. I'm free Tuesday afternoon and all of Wednesday.



Nicole Vawdrey <nicolevawdrey... Thu, Jan 23, 10:18 AM



to me ▾

How about Wednesday at 10 am?



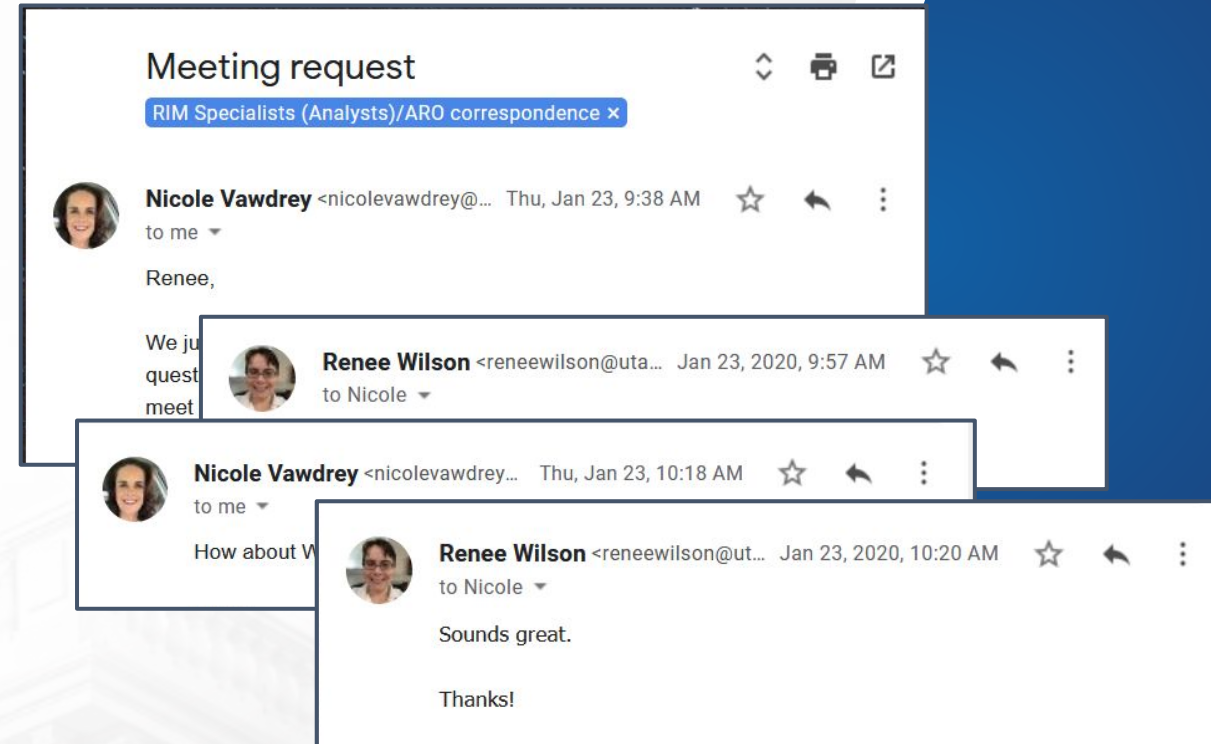
Renee Wilson <reneewilson@ut... Jan 23, 2020, 10:20 AM

to Nicole ▾

Sounds great.

2. How long should you keep it?

- A. **Until issue is resolved, destroy**
(transitory correspondence, GRS-1759)
- B. **3 years, destroy**
(local administrative correspondence, GRS-1760)
- C. **7 years, destroy**
(state administrative correspondence, GRS-48)
- D. **Not sure**



3. How long should you keep it?

- A. **Until issue is resolved, no longer than 1 year, destroy**
(transitory tracking records, GRS-1720)
- B. **Until superseded or final action, destroy**
(information governance records, GRS-1713)
- C. **Database entries are not records**
- D. **Not sure**

The screenshot displays the 'Boxes' application window, which is used for managing archival records. The interface is divided into several sections:

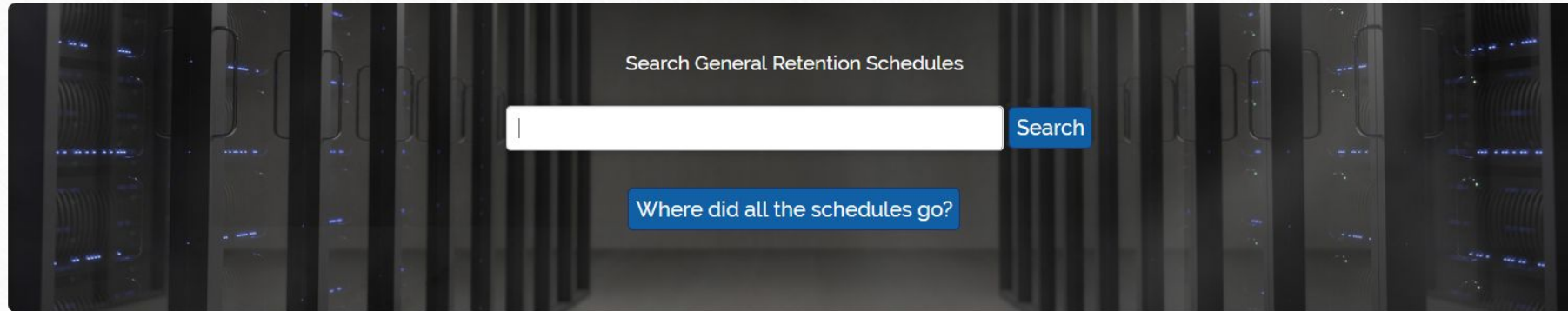
- Box Identifiers:** Includes fields for Box Number (3276), User Box Number (2), Record Center ID, Barcode ID (%00003276), and RFID.
- Location:** Includes Box Type (CUBIC FOOT BOX), Record Center (ARCHIVES), Aisle - Bay - Shelf, Alternate Location (D040A01), and Position.
- Descriptive Information:** Includes Company (UTAH STATE ARCHIVES RECORDS CENTER), Department (/00011/), Record Series (07323-), Title, and Description (Box 2, Jacobsen: Privacy and Security Committee, 1982-1983).
- General/Additional/Retention/Destruction/Activity/Ranges:** Includes fields for Creation (5/4/1995), Event, Submit (2/13/1996), Misc, From (1/1/1982), To (12/31/1983), Submitted By, Label Type (< None >), Disposition (CUSTODY), and a checked box for Label Printed.

On the right side of the window, there is a vertical toolbar with buttons for Search, Update, Delete, Add, Clear, Previous, Next, Itemize Files, Print Label, Options, Spell Check, and Check Out.

Retention Schedules

archives.utah.gov/rim/retention-schedules.html

Retention Schedules



Search General Retention Schedules

Search

Where did all the schedules go?

Find Your Agency's Series-Specific Retention Schedules

Search by agency name:

Search

Browse by agency name:

[A](#)[B](#)[C](#)[D](#)[E](#)[F](#)[G](#)[H](#)[I](#)[J](#)[K](#)[L](#)[M](#)[N](#)[O](#)[P](#)[Q](#)[R](#)[S](#)[T](#)[U](#)[V](#)[W](#)[X](#)[Y](#)[Z](#)

Enter series number:

Search

Agency-Specific General Retention Schedules

[View Departments](#)

[Search All](#)

Local Retention Schedules & Ordinances

Retention Schedule Types

General Retention Schedule

Grant records (GRS-1859)

Description

These records document grants received by governmental entities, which may contain applications, notice of award, reports, correspondence, and related records.

Retention and Disposition

After final action, retain for 7 years; then destroy records.

Categories

- Financial
- State Government

Effective

3/2018

Previous Schedule Number

SG-7-70

PDF report

[View/Print PDF](#)

Feedback and Search Terms

- [Provide Feedback](#)
- [Did you have trouble finding this schedule? Suggest a search term.](#)

Series Retention Schedule

Utah State Archives

AGENCY: Department of Administrative Services. Division of Administrative Rules

SERIES: 7192

TITLE: Administrative rules files

DATES: 1973-

ARRANGEMENT: Numerical by file number.

ANNUAL ACCUMULATION: 6.00 cubic feet.

DESCRIPTION:

These records support the agency's function to record the receipt of all rules submitted by state governmental agencies authorized or required by law to make rules (Utah Code 63G-3-402(1)(b)(2010) & 63G-3-102(2)(2008)). These records document the changes in administrative law governing the state as well as the final published version. These records are the official copies of the administrative rule filings submitted in accordance with the Utah Administrative Rulemaking Act, Title 63G. Records may also include materials incorporated by reference, notice of effective date, and pertinent correspondence.

RETENTION:

Retain 2 years.

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1989

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Archives.

Microfilm master: Retain in State Archives permanently.

Microfilm duplicate: Retain in Office permanently.

General Retention Schedules

General Retention Schedule

Grant records (GRS-1859)

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SERIES: 7192

TITLE: Administrative rules files

DATES: 1973-

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Microfilm master: Retain in State Archives permanently.

Microfilm duplicate: Retain in Office permanently.

Approval Authority for Retention Schedules

- State History director (or designee)
- State Archives director (or designee)
- Member of Utah State Bar
- Member w/experience in public finance
- Private sector records manager
- Political subdivisions representative
- News media representative



Records Management Committee (RMC)

GRS approval process

Idea /
suggestion

Preliminary
plan &
information
gathering

RIM specialist
feedback

Stakeholder
feedback

Archives
Appraisal
Committee

Records
Management
Committee

Major/minor GRS updates

Major Updates

- significant description change
- consolidation (non-duplicative)
- consolidation which changes retention
- retention change
- disposition change
- discontinuation
- new GRS

Minor Updates

- description updates for consistency, typos, grammar
- consolidation (duplicative)
- citation updates
- title updates or changes

Approval Authority for General Retention Schedules



Records Management Committee (RMC)

General Retention Schedule Items

Find: [Search](#) [Clear](#)

[Show advanced search options](#)

24 results

Sort by Relevance
Detail View
[Export results to spreadsheet](#)

Date on which the State Records Management Committee approved the schedule.

Open meeting minutes & public materials (GRS-1709) View PDF Approved minutes of an open meeting are the official record of the meeting of a public body. Contained in or with the minutes shall be the substance of all matters proposed, discussed or decided and votes taken (Utah Code 52-4-203(2014)). This includes the agenda, notices, and any public materials distributed at the meeting . Retain permanently. Records may be transferred to the archives. Effective 2014-07-01
Open meeting recordings (GRS-1712) View PDF Audio or video recordings document what transpired in open meetings of public bodies and are the official record of the meeting until and unless written meeting minutes are approved. Recordings used in place of written minutes in accordance with Utah Code 52-4-203(2)(b) are meeting minutes and are subject to the general retention schedule for open meeting minutes and public materials (GRS-1709), per Utah Code 52-4-203(6)(2018). Retain for 3 years after approval of written minutes , and then destroy records. Effective 2014-07-01
Administrative hearing records (GRS-1655) View PDF Records of hearings held for various reasons including to regulate processes, change rules and policies, address the denial and revocation of licenses at the request of the public, or to discuss particular issues at the request of an executive body. Records may include meeting notices, proofs of publications, meeting minutes , the conclusions reached, and related correspondence. Permanent. Retain for 5 years. Transfer records to the archives. Effective 1990-07-01
Closed meeting records (GRS-1710) View PDF

- Once a schedule has been approved, it is considered active, and **supersedes all previous versions** of that schedule.
- Records being managed according to these schedules must align with the **current general schedule** description and retention, regardless of their creation date.

Need Feedback from You! Stakeholders

General Retention Schedule Current Updates

Current Proposed Changes

 Give Us Feedback

Filter	Sort	...
ORIGINAL GRS RETENTION & DISPOSITION	NEW GRS RETENTION & DISPOSITION	COMMENT ON THIS PROPOSED UPDATE: https://docs.google.com/forms/d/e...
GRS-369: Served warrant log	GRS-370: Warrants	TYPE OF UPDATE Consolidation Retention Descr

Major/Minor Updates

Updates are categorized as either "major" or "minor."

Major updates include:

- Significant description updates
- Consolidation of schedules that are not duplicative
- Consolidation that changes the retention of records
- Retention change
- Disposition change
- Discontinuation of a schedule

Minor updates include:

- Description updates for consistency, typos, or grammar
- Consolidation of duplicative schedules
- Citation updates
- Title updates or changes

 Superseded Schedules List (.xlsx)

- Email
- Website
- In-person



Travel Reimbursement Request for Out-of-State Travel

This required form **MUST** be filled out completely and original receipts sent in order to submit your request accurately and timely. Once completed, submit to *State Travel 4120 SOB, Box 1117 for Inner Office Mail, or email to dastravel@utah.gov*.

Agencies should ensure travel reimbursement requests are completed accurately and approved within **45 days** from the date of return of the trip.

Name: Renée Wilson	DAS Division: Archives	
Employee # 100790	Email: reneewilson@utah.gov	
Purpose of Trip: Professional development – Society of American Archivists (SAA) Annual Meeting, plus two full-day courses for DAS (digital archives specialist) re-certification		
Destination: Austin, TX		
Departure Date: Tuesday, July 30, 2019	Departure Time: 11:45 AM	
Departure Home Base Address: Archives, 346 S. Rio Grande St., Salt Lake City, UT 84101		
Return Date: Tuesday, August 6, 2019	Return Time: 9:30 PM	
Arrival Home Base Address: 2000 E. University Avenue, Provo, UT 84601		
Incidental Expenses. (If no receipt you can only claim \$19.99 per item)		
Date: Date	Taxi	Amount: \$
Date: Tuesday, July 30, 2019, Tuesday, August 6, 2019	Shuttle	Amount: \$16.57, \$16.57 (\$33.14 total)
Date(s): Tuesday, July 30, 2019, Tuesday, August 6, 2019	Baggage Fees	Amount: \$30, \$30 (\$60 total)

SuperShuttle

Call (512) 258-3826 Option 3, at least one day in advance for return reservations

PASSENGER RECEIPT

7/30/2019 6:29:55PM

CONF#: 1079618

PASSENGERS: 1

Wilson, Renee

JW Marriott Austin

Austin

78701

FARE: \$ 11.50
SERVICE CHARGE: \$ 0.00
DRIVER FEES: \$ 0.00
COMPANY FEES: \$ 3.00
DISCOUNT: \$ 0.00
TIP: \$ 2.07
COMP/GIFT CERT: \$ 0.00
TOTAL DUE: \$ 16.57

PAYMENT TYPE: PREPAID

TOTAL PAID: \$ 16.57

CHANGE DUE: \$ 0.00

THIS IS A RECEIPT
NOT VALID FOR TRANSPORTATION

4. How long should you keep it?

- A. **Until issue is resolved, no longer than 1 year, destroy**
(transitory tracking records, GRS-1720)
- B. **3 years, destroy**
(reimbursement files, GRS-1833)
- C. **7 years, destroy**
(state accounts payable/receivable, GRS-1854)
- D. **Not sure**

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Employee # [REDACTED]	Email: reneewilson@utah.gov	
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Arrival Home Base Address: [REDACTED]		
Incidental Expenses. (If no receipt you can only claim \$19.99 per item)		
Date: Date	Taxi	Amount: \$
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JW Marriott Austin

Austin 78701

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DRIVER FEES: \$ 0.00

COMPANY FEES: \$ 3.00

DISCOUNT: \$ 0.00

TIP: \$ 2.07

COMP/GIFT CERT: \$ 0.00

TOTAL DUE: \$16.57

PAYMENT TYPE: PREPAID

TOTAL PAID: \$ 16.57

CHANGE DUE: \$ 0.00

THIS IS A RECEIPT
NOT VALID FOR TRANSPORTATION



STATE OF UTAH COOPERATIVE CONTRACT AMENDMENT

AMENDMENT #: 3

CONTRACT #: AR1766

Starting Date: 1/1/2014

Expiration Date: 12/31/2020

TO BE ATTACHED AND MADE PART OF the specified contract by and between the State of Utah Division of Purchasing and U.S Bank National Association (Referred to as CONTRACTOR).

BOTH PARTIES AGREE TO AMEND THE CONTRACT AS FOLLOWS:

Amend to exercise 2 year renewal option and to amend incentive share calculations as outlined in the attached amendment.

(Master Agreement Amendment already approved)

Effective Date of Amendment: 1/1/2019

All other terms and conditions of the contract, including those previously modified, shall remain in full force and effect.

IN WITNESS WHEREOF, the parties sign and cause this contract to be executed.

CONTRACTOR



10/21/18
Date

Brad W. Hoffelt

Contractor's Name (Print)

Senior Vice President

Title (Print)

STATE OF UTAH



10/25/2018
Date

Director, State of Utah Division of Purchasing

Date

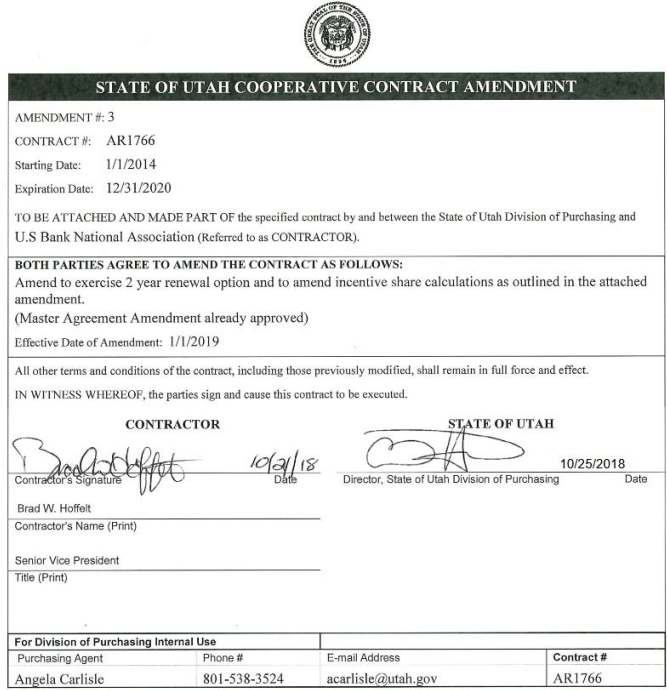
For Division of Purchasing Internal Use

Purchasing Agent	Phone #	E-mail Address	Contract #
Angela Carlisle	801-538-3524	acarlisle@utah.gov	AR1766



5. How long should you keep it?

- A. **Until issue is resolved, no longer than 1 year, destroy**
(transitory tracking records, GRS-1720)
- B. **4 years, destroy**
(purchase orders & requisition records, GRS-1544)
- C. **7 years, destroy**
(state accounts payable/receivable, GRS-1854)
- D. **7 years after expiration of contract, destroy**
(contract and lease records, GRS-1731)
- E. **Not sure**



The image shows a "STATE OF UTAH COOPERATIVE CONTRACT AMENDMENT" form. It includes fields for Amendment #, Contract #, Starting Date, and Expiration Date. The form also contains a section for "BOTH PARTIES AGREE TO AMEND THE CONTRACT AS FOLLOWS:" with a description of the amendment. There are signature lines for the Contractor and the State of Utah, with dates and titles provided. A table at the bottom contains contact information for the Purchasing Agent.

For Division of Purchasing Internal Use			
Purchasing Agent	Phone #	E-mail Address	Contract #
Angela Carlisle	801-538-3524	acarlisle@utah.gov	AR1766

UTAH
ADMINISTRATIVE CODE
1989

VOLUME 4

**The Complete Administrative Rules
of the State of Utah**

Effective as of January 3, 1989

Compiled by
The Utah Division of Administrative Rules
Department of Administrative Services

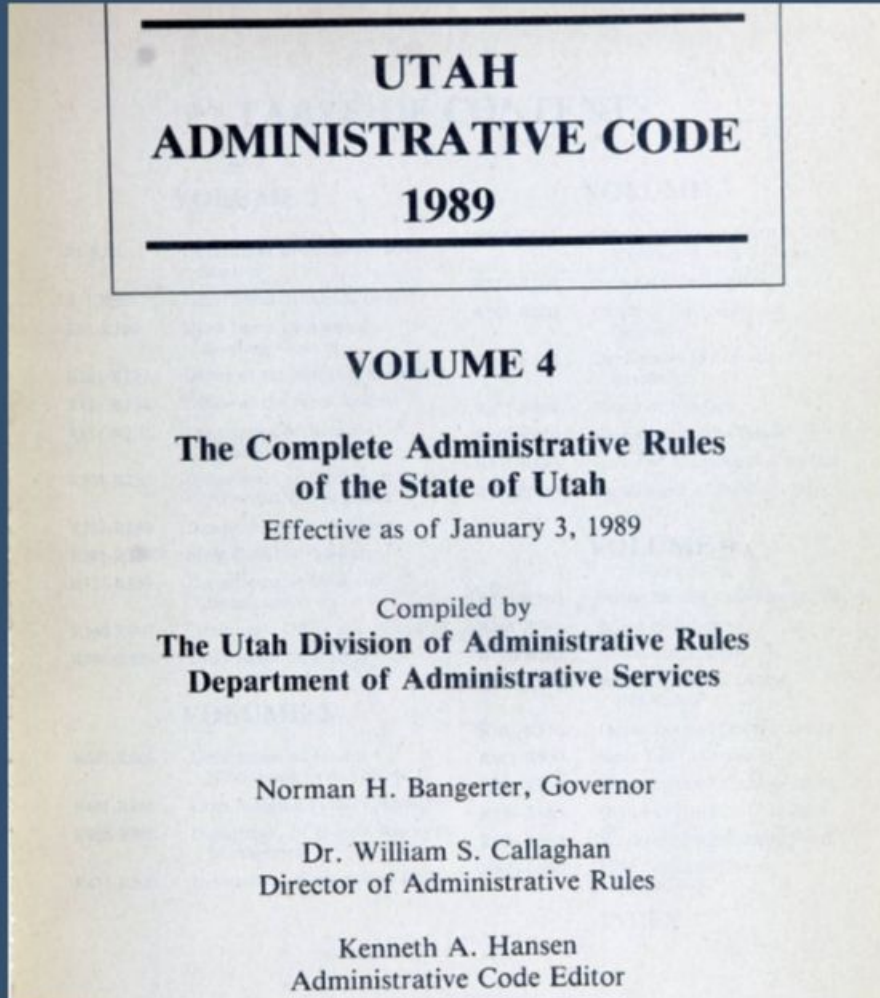
Norman H. Bangerter, Governor

Dr. William S. Callaghan
Director of Administrative Rules

Kenneth A. Hansen
Administrative Code Editor



Administrative Code - how long should you keep this record?



10 years

50 years

Permanent

Until
superseded



Series Retention Schedule

Grant records (GRS-1859)

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SERIES: 7192

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Series retention schedule

Create a SRS if:

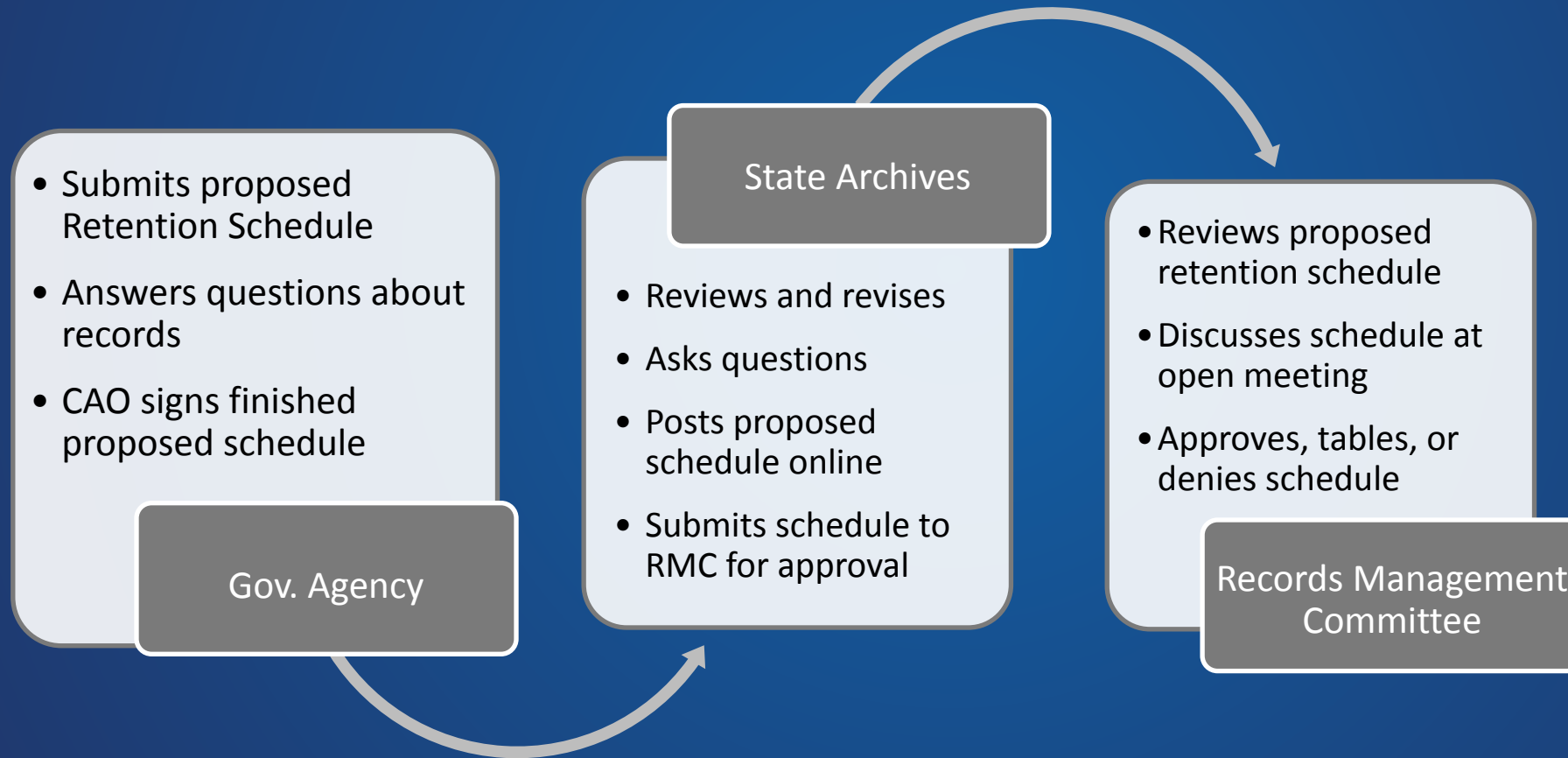
- Records are not depicted in any GRS
- Retention period differs from GRS
- You'd prefer to do so for your own internal records management purposes (e.g. classification, file plan, etc.) [OPTIONAL]

Series retention schedule

Create a SRS to utilize Archives services:

- Records stored at the State Records Center
- Transferring records to be preserved at the State Archives
- Records reformatted by Reformatting section

SRS creation process





RIM Section Monthly Numbers (Master)



File Edit View Insert Format Data Tools Add-ons Help All changes saved in Drive

100% \$ % .0 .00 123 Arial 10 B I S A

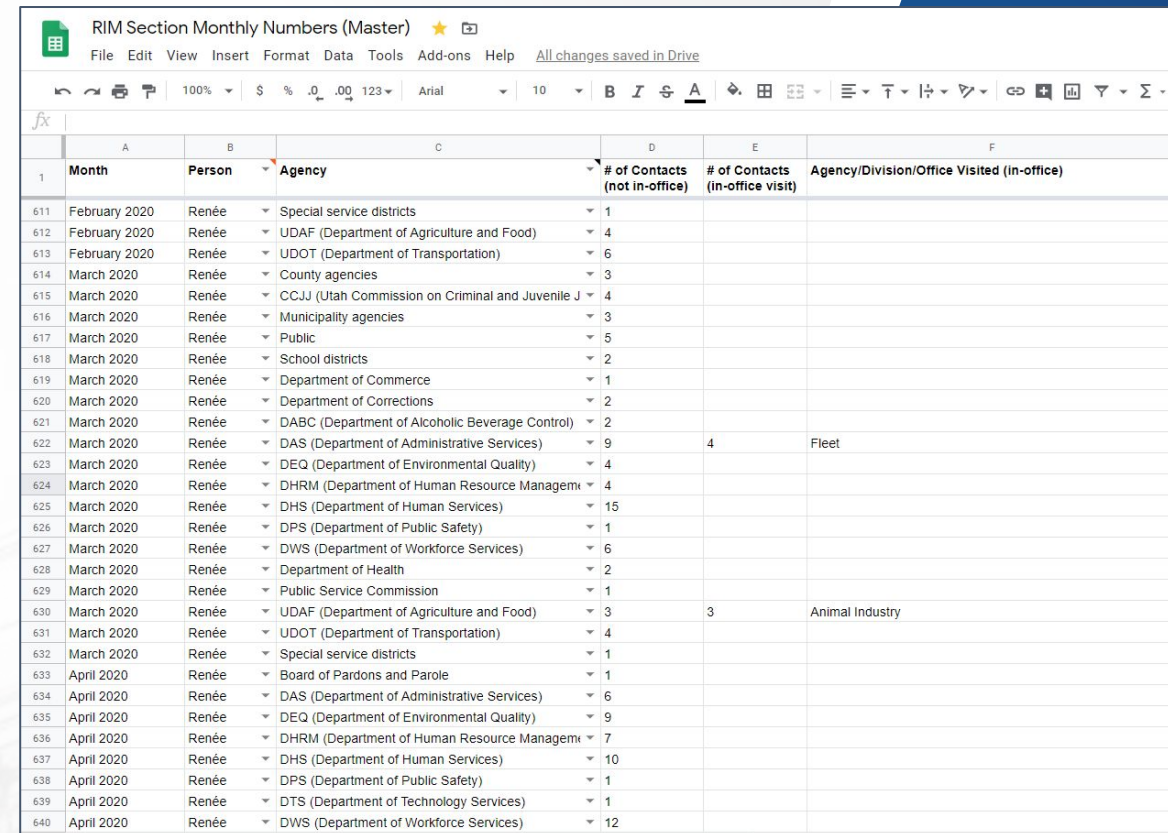
fx

	A	B	C	D	E	F
1	Month	Person	Agency	# of Contacts (not in-office)	# of Contacts (in-office visit)	Agency/Division/Office Visited (in-office)
611	February 2020	Renée	Special service districts	1		
612	February 2020	Renée	UDAF (Department of Agriculture and Food)	4		
613	February 2020	Renée	UDOT (Department of Transportation)	6		
614	March 2020	Renée	County agencies	3		
615	March 2020	Renée	CCJJ (Utah Commission on Criminal and Juvenile J	4		
616	March 2020	Renée	Municipality agencies	3		
617	March 2020	Renée	Public	5		
618	March 2020	Renée	School districts	2		
619	March 2020	Renée	Department of Commerce	1		
620	March 2020	Renée	Department of Corrections	2		
621	March 2020	Renée	DABC (Department of Alcoholic Beverage Control)	2		
622	March 2020	Renée	DAS (Department of Administrative Services)	9	4	Fleet
623	March 2020	Renée	DEQ (Department of Environmental Quality)	4		
624	March 2020	Renée	DHRM (Department of Human Resource Managemen	4		
625	March 2020	Renée	DHS (Department of Human Services)	15		
626	March 2020	Renée	DPS (Department of Public Safety)	1		
627	March 2020	Renée	DWS (Department of Workforce Services)	6		
628	March 2020	Renée	Department of Health	2		
629	March 2020	Renée	Public Service Commission	1		
630	March 2020	Renée	UDAF (Department of Agriculture and Food)	3	3	Animal Industry
631	March 2020	Renée	UDOT (Department of Transportation)	4		
632	March 2020	Renée	Special service districts	1		
633	April 2020	Renée	Board of Pardons and Parole	1		
634	April 2020	Renée	DAS (Department of Administrative Services)	6		
635	April 2020	Renée	DEQ (Department of Environmental Quality)	9		
636	April 2020	Renée	DHRM (Department of Human Resource Managemen	7		
637	April 2020	Renée	DHS (Department of Human Services)	10		
638	April 2020	Renée	DPS (Department of Public Safety)	1		
639	April 2020	Renée	DTS (Department of Technology Services)	1		
640	April 2020	Renée	DWS (Department of Workforce Services)	12		



6. How long should you keep it?

- A. **Until issue is resolved, no longer than 1 year, destroy**
(transitory tracking records, GRS-1720)
- B. **2 years after resolution of issue, destroy**
(employee & program productivity records, GRS-1698)
- C. **7 years, destroy**
(state administrative correspondence, GRS-48)
- D. **Not sure**



RIM Section Monthly Numbers (Master)

	A	B	C	D	E	F
1	Month	Person	Agency	# of Contacts (not in-office)	# of Contacts (in-office visit)	Agency/Division/Office Visited (in-office)
611	February 2020	Renée	Special service districts	1		
612	February 2020	Renée	UDAF (Department of Agriculture and Food)	4		
613	February 2020	Renée	UDOT (Department of Transportation)	6		
614	March 2020	Renée	County agencies	3		
615	March 2020	Renée	CCJJ (Utah Commission on Criminal and Juvenile Justice)	4		
616	March 2020	Renée	Municipality agencies	3		
617	March 2020	Renée	Public	5		
618	March 2020	Renée	School districts	2		
619	March 2020	Renée	Department of Commerce	1		
620	March 2020	Renée	Department of Corrections	2		
621	March 2020	Renée	DABC (Department of Alcoholic Beverage Control)	2		
622	March 2020	Renée	DAS (Department of Administrative Services)	9	4	Fleet
623	March 2020	Renée	DEQ (Department of Environmental Quality)	4		
624	March 2020	Renée	DHRM (Department of Human Resource Management)	4		
625	March 2020	Renée	DHS (Department of Human Services)	15		
626	March 2020	Renée	DPS (Department of Public Safety)	1		
627	March 2020	Renée	DWS (Department of Workforce Services)	6		
628	March 2020	Renée	Department of Health	2		
629	March 2020	Renée	Public Service Commission	1		
630	March 2020	Renée	UDAF (Department of Agriculture and Food)	3	3	Animal Industry
631	March 2020	Renée	UDOT (Department of Transportation)	4		
632	March 2020	Renée	Special service districts	1		
633	April 2020	Renée	Board of Pardons and Parole	1		
634	April 2020	Renée	DAS (Department of Administrative Services)	6		
635	April 2020	Renée	DEQ (Department of Environmental Quality)	9		
636	April 2020	Renée	DHRM (Department of Human Resource Management)	7		
637	April 2020	Renée	DHS (Department of Human Services)	10		
638	April 2020	Renée	DPS (Department of Public Safety)	1		
639	April 2020	Renée	DTS (Department of Technology Services)	1		
640	April 2020	Renée	DWS (Department of Workforce Services)	12		

NEGATIVE FILE

<u>DATE</u>	<u>JOB NUMBER</u>	<u>DESCRIPTION</u>
3/16-27/70	197063	Cores & Highway Textures Mtls. Lab
4/1/70	197064	Traffic Jam - Wreck
4/2/70	197065	Photos for Jim Guy - Training Conference Room
4/3/70	197066	Bert Kros - Service Award
4/ /70	197067	Texture Shots of Salt Flats
3/23/70	197068	Map for Femmel
4/9/70	197069	Signs (Traffic Signs)
4/9/70	197070	Capitol Bldg. at Night
4/13/70	197071	Ray Staples
4/13/70	197072	Graham Scherra
4/13/70	197073	Glen Flint
4/13/70	197074	I-80 East of Henefer
4/13/70	197075	Ogden Airport ground Shots
4/14/70	197076	1st Gun of Logan Canyon
4/15/70	197077	Consules for Communications
4/16/70	197078	Asphalt Ductility Testing Mach. Matls. Lab
4/14/70	197079	Moving House
4/7/70	197080	Medium Barrier I-70 Salina Canyon
4/10/70	197081	Retirement certification Presentation
4/20/70	197082	Photos in Parleys Canyon
4/8/70	197083	Matls. Lab Equipment Report - Ron Dellis
	197084	Old Rock Jail South of Elsinor
4/15/70	197085	Copy work
4/7/70	197086	Big Rock Candy Mountain
4/2/70	197087	Rest Area I-80N Westbound E. of Wendover
4/2/70	197088	Construction I-80 East of Knolls
4/21/70	197089	SLATS Meeting at Transportation
4/23/70	197090	Governor Rampton & Womans Club Offices
4/23/70	197091	U.S. Savings Bond Drive
4/28/70	197092	District #2 New Office Open House

7. How long should you keep it?

- A. **Issue is resolved, no longer than 1 year, destroy**
(transitory tracking records, GRS-1720)
- B. **Until superseded or final action, destroy**
(information governance records, GRS-1713)
- C. **Final action, permanent**
(government construction as-built plans, GRS-1789)
- D. **Permanent**
(recorded surveys and index, GRS-384)
- E. **Not sure**

NEGATIVE FILE		
DATE	JOB NUMBER	DESCRIPTION
3/16-27/70	197063	Cores & Highway Textures Mtls. Lab
4/1/70	197064	Traffic Jam - Wreck
4/2/70	197065	Photos for Jim Guy - Training Conference Room
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4/13/70	197074	I-80 East of Henefer
4/13/70	197075	Ogden Airport ground Shots
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4/16/70	197078	Asphalt Ductility Testing Mach. Matls. Lab
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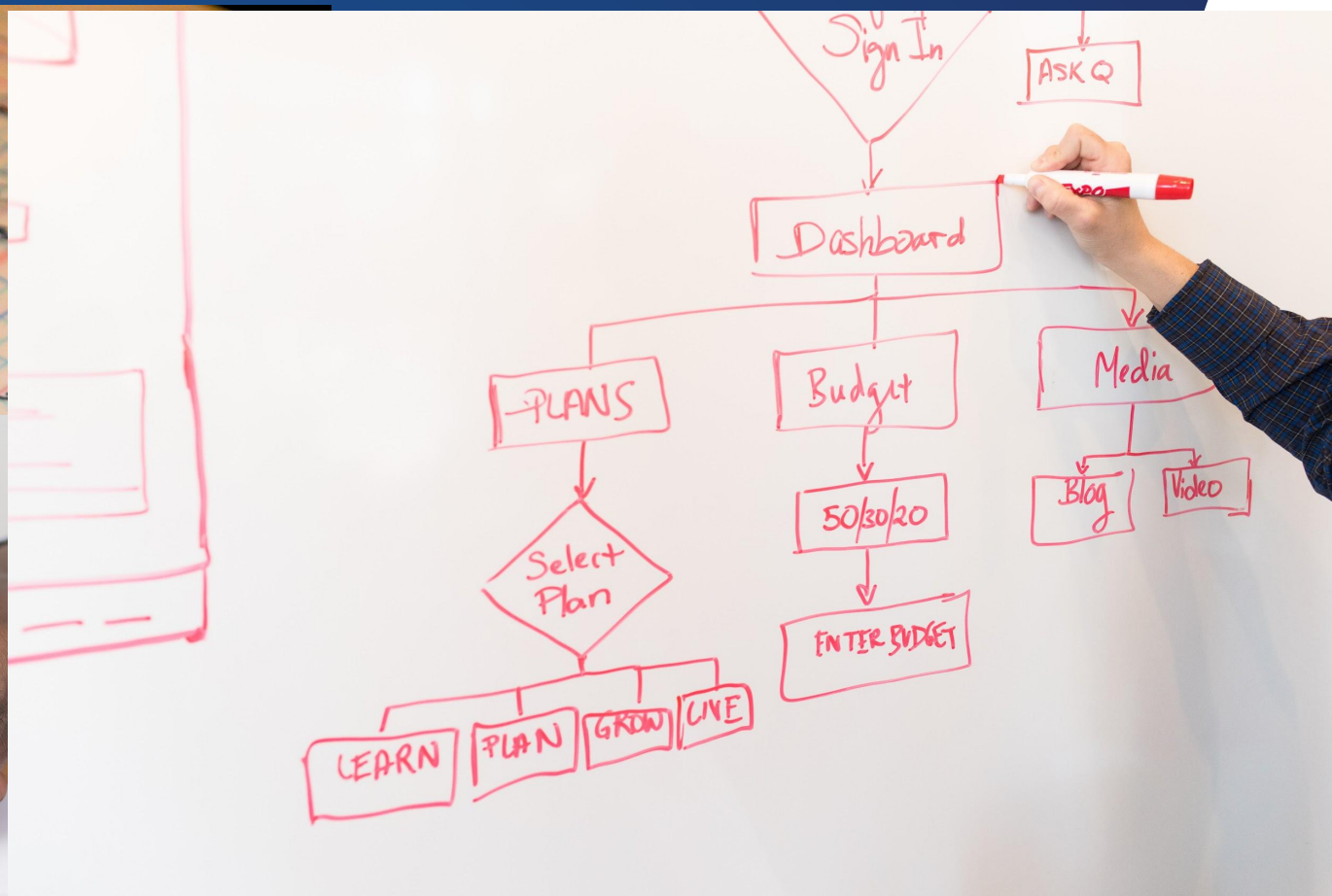
Records Appraisal



Appraising Records

- Administrative
- Fiscal
- Legal
- Historical
 - ^ always permanent





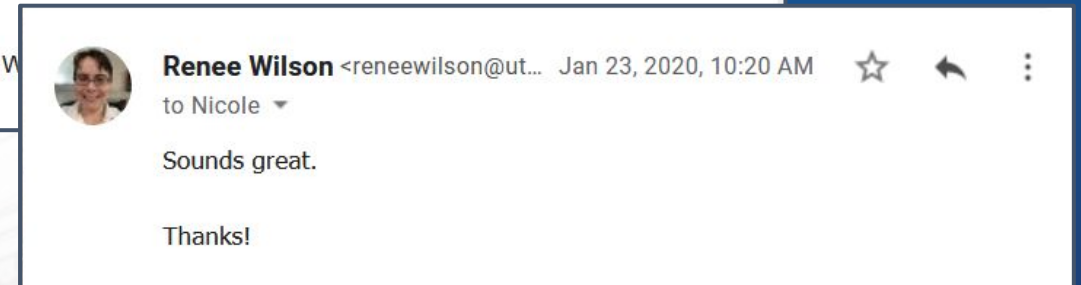
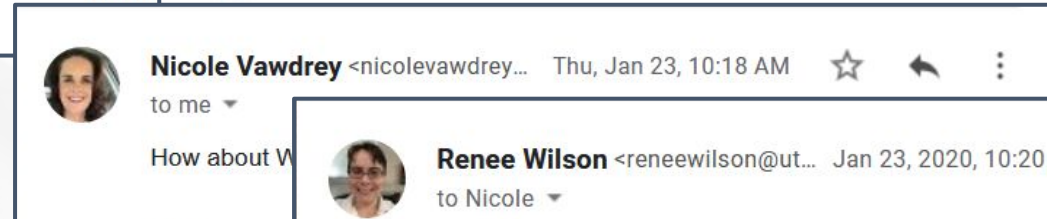
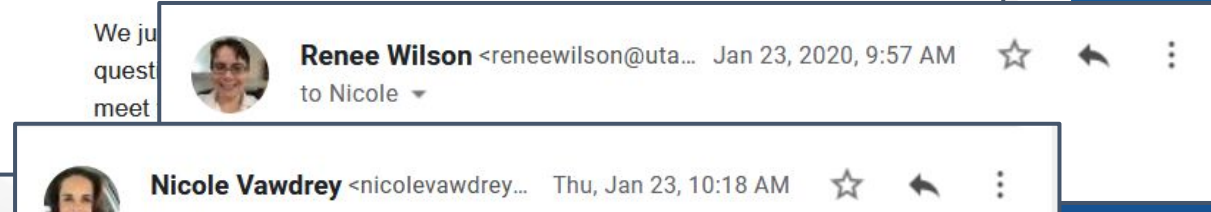
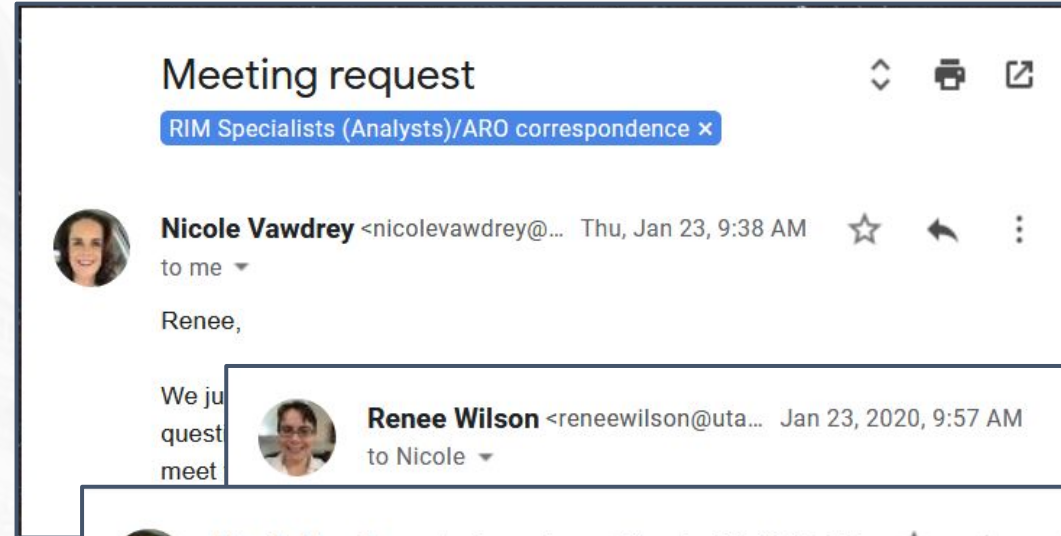
Appraising Records

- Administrative
- Fiscal
- Legal
- Historical
 - ^ always permanent



8. What value does it have?

- A. Administrative
- B. Fiscal
- C. Legal
- D. Historical



9. What value does it have?

- A. Administrative
- B. Fiscal
- C. Legal
- D. Historical

The screenshot shows the 'Boxes' application window with the following data:

Field	Value
Box Number	8276
User Box Number	2
Record Center ID	
Barcode ID	%00003276
RFID	
Box Type	CUBIC FOOT BOX
Record Center	ARCHIVES
Aisle - Bay - Shelf	
Alternate Location	D040A01
Company	UTAH STATE ARCHIVES RECORDS CENTER
Department	/00011/
Record Series	07323
Title	
Description	Box 2 Jacobsen: Privacy and Security Committee 1982-1983
Creation	5/4/1995
Event	
Submit	2/13/1996
Misc	
From	1/1/1982
To	12/31/1983
Submitted By	
Label Type	< None >
Disposition	CUSTODY
Label Printed	<input checked="" type="checkbox"/>

10. What value does it have?

- A. Administrative
- B. Fiscal
- C. Legal
- D. Historical

Travel Reimbursement Request for Out-of-State Travel

This required form **MUST** be filled out completely and original receipts sent in order to submit your request accurately and timely. Once completed, submit to *State Travel 4120 SOB, Box 1117 for Inner Office Mail*, or email to dastravel@utah.gov.

Agencies should ensure travel reimbursement requests are completed accurately and approved within **45 days** from the date of return of the trip.

Name: Renée Wilson	DAS Division: Archives	
Employee # [REDACTED]	Email: reneewilson@utah.gov	
Purpose of Trip: Professional development – Society of American Archivists (SAA) Annual Meeting, plus two full-day courses for DAS (digital archives specialist) re-certification		
Destination: Austin, TX		
Departure Date: Tuesday, July 30, 2019	Departure Time: 11:45 AM	
Departure Home Base Address: Archives, 346 S. Rio Grande St., Salt Lake City, UT 84101		
Return Date: Tuesday, August 6, 2019	Return Time: 9:30 PM	
Arrival Home Base Address: [REDACTED]		
Incidental Expenses. (If no receipt you can only claim \$19.99 per item)		
Date: Date	Taxi	Amount: \$
Date: Tuesday, July 30, 2019, Tuesday, August 6, 2019	Shuttle	Amount: \$16.57, \$16.57 (\$33.14 total)
Date(s): Tuesday, July 30, 2019, Tuesday, August 6, 2019	Baggage Fees	Amount: \$30, \$30 (\$60 total)

SuperShuttle

Call (512) 258-3826 Option 3, at least one day in advance for return reservations

PASSENGER RECEIPT

7/30/2019 6:29:55PM

CONF#: 1079618
PASSENGERS: 1

Wilson, Renee

JW Marriott Austin

Austin 78701

FARE:	\$ 11.50
SERVICE CHARGE:	\$ 0.00
DRIVER FEES:	\$ 0.00
COMPANY FEES:	\$ 3.00
DISCOUNT:	\$ 0.00
TIP:	\$ 2.07
COMP/GIFT CERT:	\$ 0.00
TOTAL DUE:	\$ 16.57

PAYMENT TYPE: PREPAID

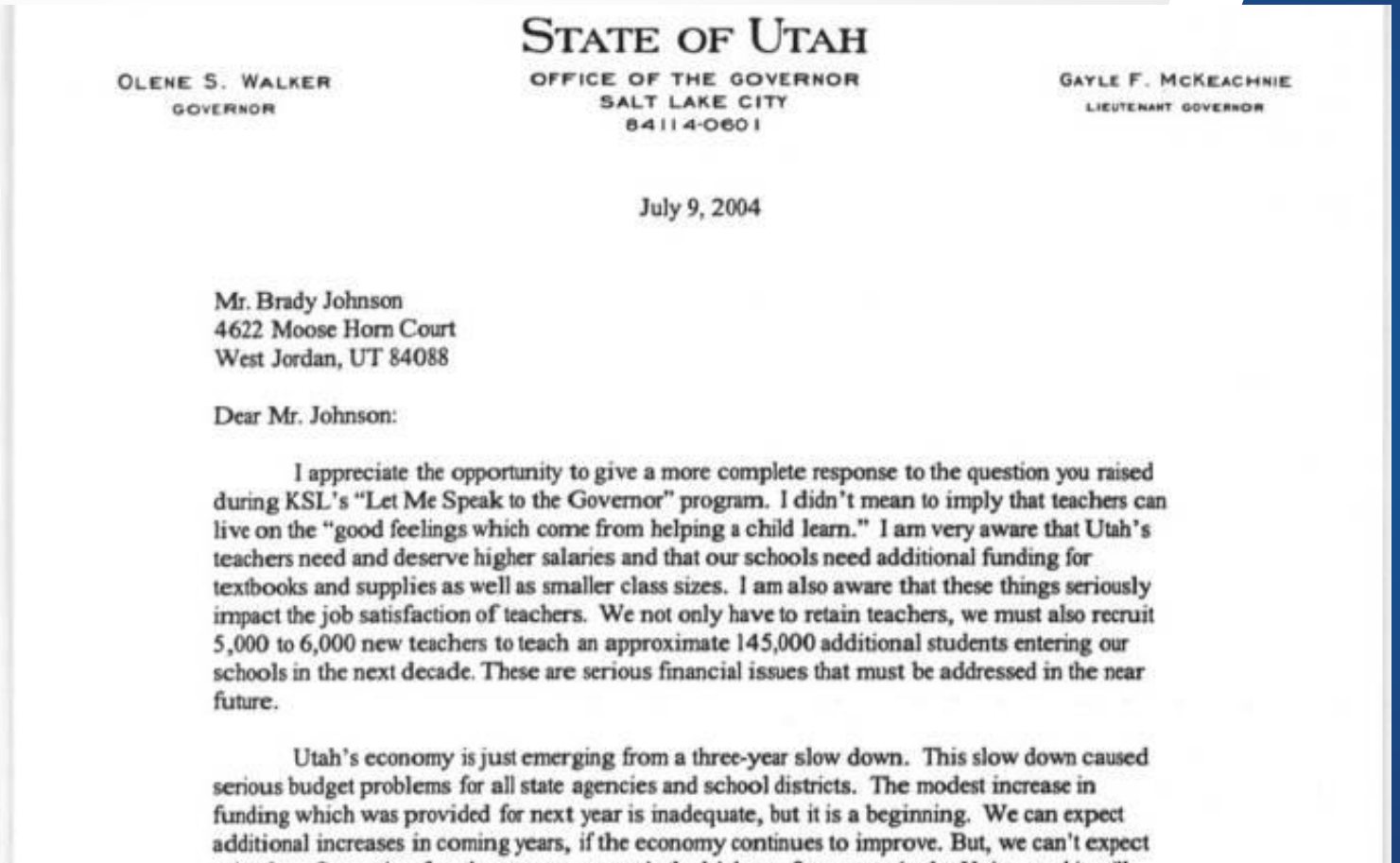
TOTAL PAID: \$ 16.57

CHANGE DUE: \$ 0.00

THIS IS A RECEIPT
NOT VALID FOR TRANSPORTATION

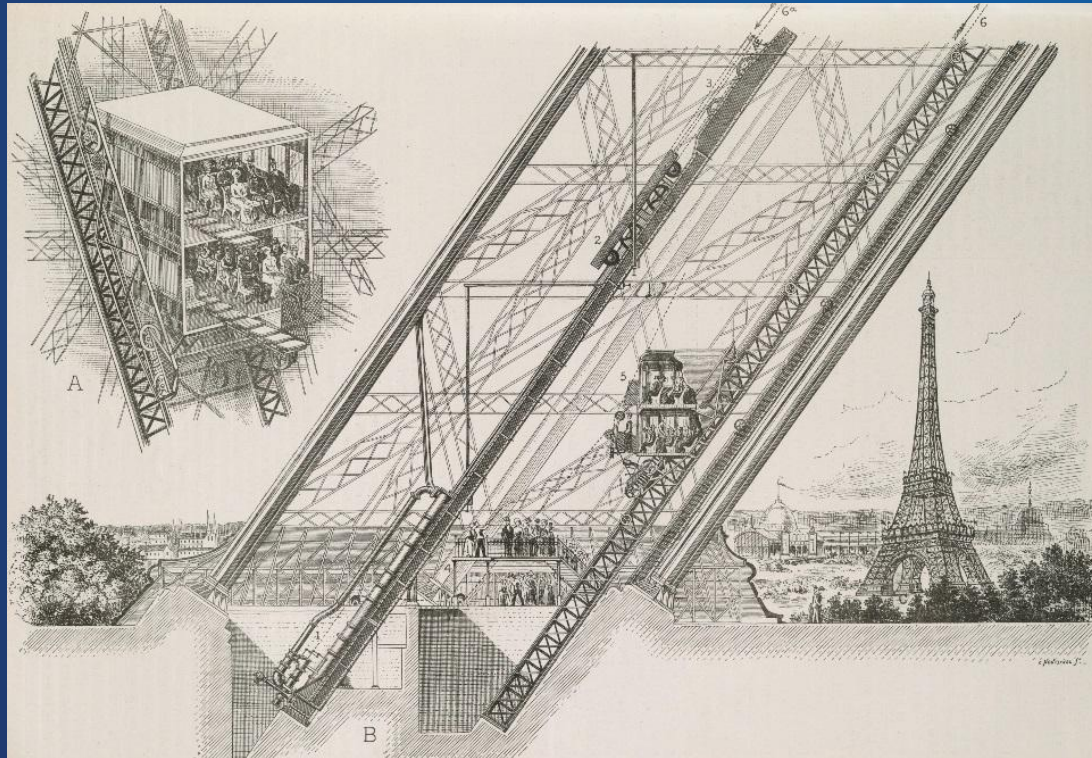
What value does it have?

- A. Administrative
- B. Fiscal
- C. Legal
- D. Historical



Assessing Value

Administrative need = 20 years?



11. What does permanent mean?

- A. Indefinitely
- B. As long as possible
- C. As long as I'm here
- D. Forever

Permanent does NOT mean "as long as I am here"



"We've got to get our clients to think of long-term investments."

"By long-term, I mean until we retire."

Permanent means forever

Permanent = forever. Never destroy, delete, lose

Long-term retentions:

- 50 years after dissolution of the republic, then destroy
- 10,000 years, then destroy

Historical value = transfer to State Archives

- Historical value
 - Organization's history
 - Research interest
- Intrinsic value
 - Age
 - Content
 - Unique features



Historical value = transfer to State Archives

- State Archives takes custody
 - Preservation
 - Access via Research Center in Salt Lake City



OLENE S. WALKER
GOVERNOR

STATE OF UTAH
OFFICE OF THE GOVERNOR
SALT LAKE CITY
84114-0601

GAYLE F. McKEACHNIE
LIEUTENANT GOVERNOR

July 9, 2004

Mr. Brady Johnson
4622 Moose Horn Court
West Jordan, UT 84088

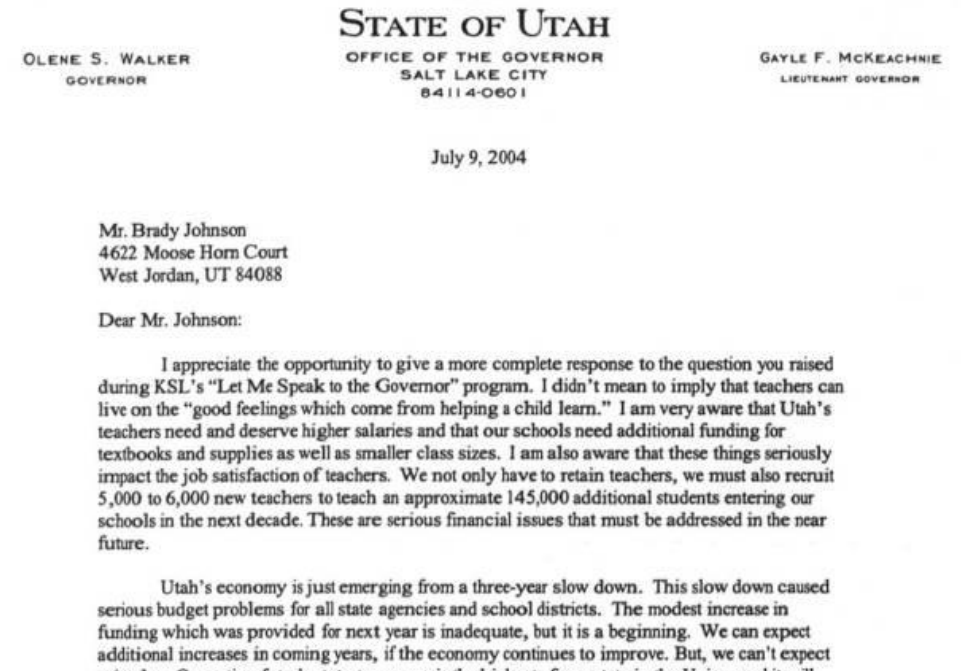
Dear Mr. Johnson:

I appreciate the opportunity to give a more complete response to the question you raised during KSL's "Let Me Speak to the Governor" program. I didn't mean to imply that teachers can live on the "good feelings which come from helping a child learn." I am very aware that Utah's teachers need and deserve higher salaries and that our schools need additional funding for textbooks and supplies as well as smaller class sizes. I am also aware that these things seriously impact the job satisfaction of teachers. We not only have to retain teachers, we must also recruit 5,000 to 6,000 new teachers to teach an approximate 145,000 additional students entering our schools in the next decade. These are serious financial issues that must be addressed in the near future.

Utah's economy is just emerging from a three-year slow down. This slow down caused serious budget problems for all state agencies and school districts. The modest increase in funding which was provided for next year is inadequate, but it is a beginning. We can expect additional increases in coming years if the economy continues to improve. But we can't expect

12. How long should you keep it?

- A. **Until issue is resolved, destroy**
(transitory correspondence, GRS-1759)
- B. **3 years, destroy**
(customer request or complaint records, GRS-1783)
- C. **5 years after separation, permanent**
(state executive correspondence, GRS-1758)
- D. **7 years, destroy**
(state administrative correspondence, GRS-48)
- E. **Not sure**



The Law



Records Laws

PRMA – Public Records Management Act

(Utah Code 60A-12)

GRAMA – Government Records Access and Management Act

(Utah Code 63G-2)

Uniform Electronic Transactions Act

(Utah Code 46-4)



Records are property of the state

Do not intentionally

- destroy
- mutilate
- damage
- dispose of

the record copy contrary to a properly adopted retention schedule!



Mandated to maintain & destroy

Utah Code 63G- 2-604 – Retention and disposition of records.

(1) (a) . . . each governmental entity shall file with the State Records Management Committee a proposed schedule for the retention and disposition of each type of material that is defined as a record under this chapter.

(b) After a retention schedule is reviewed and approved by the State Records Management Committee under 40 Subsection 63G-2-502(1)(b), the governmental entity **shall maintain and destroy** records in accordance with the retention schedule.

(c) If a governmental entity subject to the provisions of this section has not received an approved retention schedule for a specific type of material that is classified as a record under this chapter, the model retention schedule maintained by the state archivist shall govern the retention and destruction of that type of material.

State Archivist

State Archivist is the official custodian of non-current records of permanent value:

- Historical records have met retention
- Agency is done maintaining them
- Agency becomes obsolete



Options for political subdivisions

- May adopt internal ordinances that are applicable within their jurisdiction
 - Retention schedules
 - Appeals processes in compliance with GRAMA
- Must provide records schedules, policies, ordinances State Archives for review
- Must transfer historically valuable records to State if requested

I. PRESENT PLAN OF ORGANIZATION

State government in Utah has been expanding in an attempt to keep pace with the increasing public service requirements of a growing population, now estimated to be over 1,000,000. Recent program expansions have occurred in many areas and include:

- Increased state participation in financing of public schools, institutions of higher education, and public welfare assistance programs.
- Establishment of a \$67,000,000 capital improvement program for development of state buildings and park and recreation sites.
- Increased support for industrial development and other state promotional programs.
- Accelerated development of the state highway system.

To implement and "administer" the expanding programs an administrative structure has been created and staffed. Utah state government now employs almost 11,000 full time personnel including those who work for colleges and universities. Counting federal aid, Utah now expends annually an amount in excess of three hundred million dollars (\$300,000,000).

For example, state expenditures for the fiscal year 1964-65 were as follows:

Activity	Amount (Million)	% of Total
----------	---------------------	---------------



How long should you keep it?

- A. **2 years after resolution of issue, destroy**
(employee and program productivity records, GRS-1698)
- B. **10 years after resolution of issue, destroy**
(program and project analysis records, GRS-1277)
- C. **10 years, permanent**
(audit records, GRS-1727)
- D. **Permanent**
(annual or official reports, GRS-3)
- E. **Not sure**

I. PRESENT PLAN OF ORGANIZATION

State government in Utah has been expanding in an attempt to keep pace with the increasing public service requirements of a growing population, now estimated to be over 1,000,000. Recent program expansions have occurred in many areas and include:

- Increased state participation in financing of public schools, institutions of higher education, and public welfare assistance programs.
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For example, state expenditures for the fiscal year 1964-65 were as follows:

Activity	Amount (Million)	% of Total
----------	---------------------	---------------

So... how long should I keep this record?

- What is the record's administrative/fiscal/legal value?
 - How long will it be valuable?
 - Is it historically valuable?
- Are there any laws regarding its retention?
- Does it match an existing retention schedule?

Questions?



Renée Wilson, RIM Specialist, Utah State Archives

reneewilson@utah.gov

801-531-3842

Find your RIM specialist at archives.utah.gov/rim/records-analysts.html



Permanent Paper Records

- Records created on paper that have to be kept permanently should not be destroyed.
- Please send them to the State Archives for preservation.

Transfer records as necessary



Utah State Records Center

- Inactive records
- Secure, free off-site storage
- Custody held by government agency
- Agency may request records

Utah State Archives



Utah State Archives

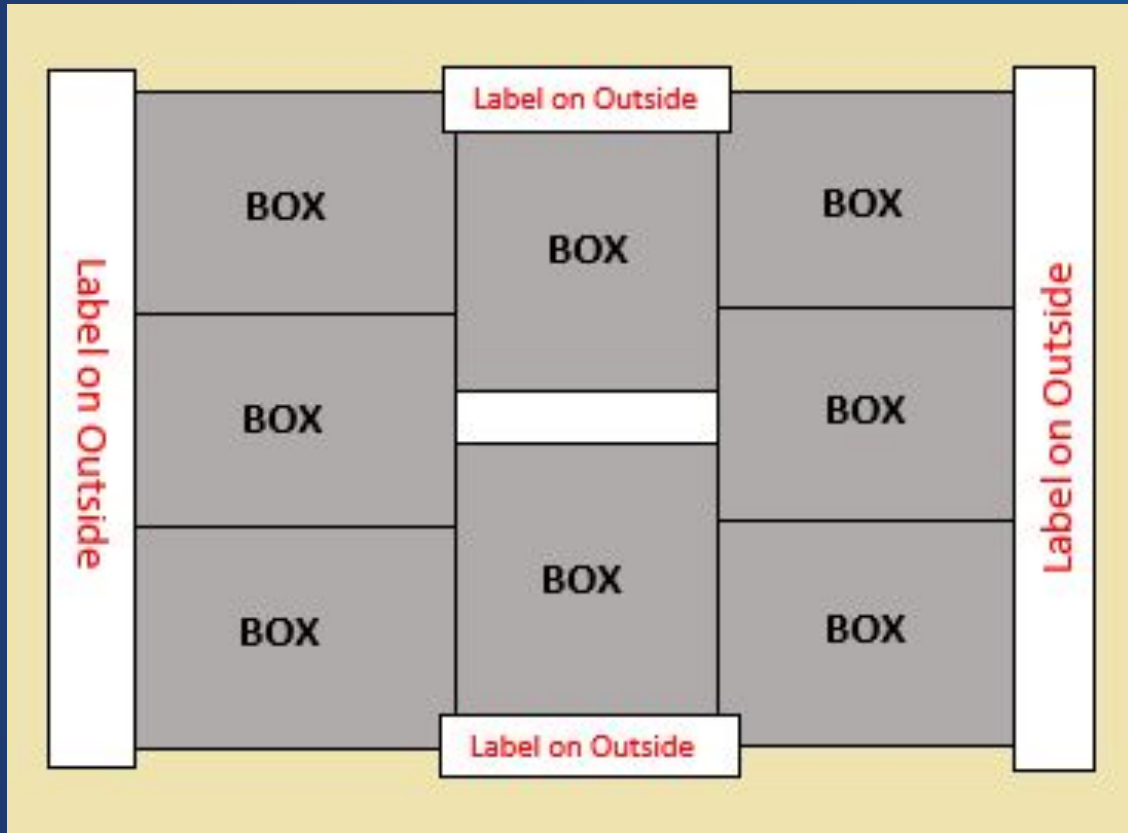
- Repository for historical records
- Custody held by State Archives
- Access via the Research Center or online

Procedure for Transferring Records

1. Identify record series number
 - *May need to schedule the records, which takes time
2. Purchase boxes from Office Depot
3. Prepare and Arrange records
4. Label boxes



Procedure for Transferring Records (cont.)



8 boxes per layer

5. Inventory records
6. Submit Record Transfer Form (RTF)
7. Arrange boxes
8. Arrange delivery

Activity: Label boxes

A

Governor's Office

Constituent
Correspondence
(series 13368)

March 2005 to Oct.
2005

Previous agency
box numbers:

2003-1

2003-2

2003-3

DEPARTMENT OF ADMINISTRATIVE SERVICES
UTAH STATE ARCHIVES & RECORDS SERVICE

Box A: How would you label this box?



DEPARTMENT OF ADMINISTRATIVE SERVICES
UTAH STATE ARCHIVES & RECORDS SERVICE

AGENCY NAME (DEPT., DIV., & BUREAU):

Governor's Office

RECORD SERIES NUMBER:

13368

AGENCY-ASSIGNED
BOX NUMBER:

GVC 05

Admin. Constituent Correspondence

BAR CODE LABEL
(ARCHIVES USE ONLY)

Answer for A

B

UDOT
Permits Office

Access Permits
(series 25326)

January-June 2005

Previous Agency
Box numbers!

...

03-9

03-10

2004-1

2004-2

2004-3

DEPARTMENT OF ADMINISTRATIVE SERVICES
ARCHIVES & RECORDS SERVICE

Box B: How would you label this box?



DEPARTMENT OF ADMINISTRATIVE SERVICES
UTAH STATE ARCHIVES & RECORDS SERVICE

AGENCY NAME (DEPT., DIV., & BUREAU):

UDOT / Permits Off.

RECORD SERIES NUMBER:

25326

AGENCY-ASSIGNED
BOX NUMBER:

2005-01

Access Permits

BAR CODE LABEL
(ARCHIVES USE ONLY)

Answer for B

F

State AG's Office

Formal Opinions

1997 to 2012

Previous Agency
Box Numbers:

82-108

82-109

3055D07

91-96

DEPARTMENT OF ADMINISTRATIVE SERVICES
UTAH STATE ARCHIVES & RECORDS SERVICE

Box F: How would you label this box?



Box Labeling

DEPARTMENT OF ADMINISTRATIVE SERVICES UTAH STATE ARCHIVES & RECORDS SERVICE	
AGENCY NAME (DEPT., DIV., & BUREAU): State AG's Office	
RECORD SERIES NUMBER: 7191	AGENCY-ASSIGNED BOX NUMBER: 1997-2012
Formal Opinions	
BAR CODE LABEL (ARCHIVES USE ONLY)	

Answer for F



**You need a file
that has been
“archived”**



A faint, blue-tinted background image of the Utah State Capitol building, featuring its iconic dome and classical columns.

**You receive a Box
Destruction
Eligibility letter
for records that
you store at the
Records Center**

Destroy records as necessary

- Retentions are not just a minimum
- All copies of a record should be destroyed at the same time as the record copy (or before)—regardless of format
- Utah Code 63G-2-604(1)(b) (GRAMA)

Appropriate Destruction of Records

- Shredding or burning
 - reputable company
- So information CANNOT be pieced back together or recovered
- State Records Center will destroy, with your authorization, at no cost to you



Tips for managing destruction:

- Establish a routine
- Assign responsibilities clearly
- Document the following in a destruction log:
 - Authorizing retention schedule
 - Date of destruction
 - Person who disposed of them

Disposition is delayed if records are:

- Ongoing investigation
- Required for possible litigation
- Litigation hold
- Pending GRAMA request
- Being used in an audit



ISO 15489-1 (9.9)

Contact your RIM Specialist with questions

General RIM Specialist – 801-531-3863, recordsmanagement@utah.gov

- Education agencies (school districts, charter schools, colleges, etc.)

Renée Wilson – 801-531-3842, reneewilson@utah.gov

- State agencies, Elected state agencies, legislature

Avalon Snell – 801-531-3866, avalonsnell@utah.gov

- State agencies, Special Districts

Heidi Steed – 801-531-3860, hsteed@utah.gov

- Local agencies, law enforcement, courts



Record Storage Specialists at the State Records Center



Lisa Catano (Manager), Jim Duke, Chaz Leech

*801-525-3020 *recordscenter@utah.gov